


MARICOPA COUNTY  HUMAN SERVICES DEPARTMENT Workforce Development Division	SECTION/REFERENCE PL 105-220 Section 185	PAGE 1 OF 5
	ORIGINAL ISSUE DATE March 2006, June 2013	REVISION DATE July 2014
	AUTHORIZED BY: Patricia Wallace, Assistant Director	
SUBJECT: Records Retention & Destruction Process		ADDENDA:

Purpose:

To ensure compliance with Federal, State and local requirements regarding the retention of Workforce Investment Act, (WIA) applicant and participant records.

Responsibility of:

Center Managers, Program Supervisors and Designated staff

Process Description:

All individuals seeking services offered through Maricopa Workforce Connections Career Centers are required to register with Arizona Job Connection (AJC) and HSD Online. AJC registration is required for self-help as well as staff-assisted services provided by all partner agencies.

If these systems are not operating or registration is being conducted at a site with no Internet access, paper forms will be used and entered into AJC and HSD Online when the system is available.

Note: Hard copy files are not created for individuals accessing self services. All customer information is maintained in AJC and HSD Online. Hard files are not to be removed from the One Stop Centers without prior approval of a Supervisor/Center Manager, and staff must notify the Follow Up and Retention team in order to track the location of the hard file.

Applicants for WIA services will receive a WIA Application in the Employability Skills Workshop, and will return a completed application on the 2nd day of the workshop. Staff will have the application ready for their Triage Intake meeting where customer and staff will sign. The WIA application is placed in a participant file with appropriate documentation for program eligibility purposes.

WIA Applications that do not result in WIA enrollment are maintained for 45 days after the date of application, and then shredded.

Enrolled individuals' files must be retained for a total of 6 years after exit and must include the WIA participant application and associated documents. If an audit is being conducted on any portion of the WIA program, all records pertaining to the period of the audit must be retained until the audit is formally completed. This may require retention beyond the 6 year period.

Once files have been maintained for 3 years at the One Stop Center, they are to be boxed and sent to HSD's approved vendor "Iron Mountain" for an additional 3 years.

Iron Mountain File Storage and Destruction Process:

October through December of each year, prepare and ship hard copy files for storage to Iron Mountain (IM). 3 fiscal years of client files are kept on-site for audit purposes, plus new/present fiscal year. 6 years of client files must be kept available at all times, this include 3 years of files in IM and 3 years on-site, not including present year. Prior to destruction, Iron Mountain will contact Center Manager to obtain final approval for each box that has reached destruct date maturity.

Example: 2008, 2009, 2010 are in storage at IM; on-site years will be 2011, 2012, 2013 and the new year of 2014. At the end of the present fiscal year, preparation to ship 2011 will begin.

Supplies Needed:

Heavy Duty Storage Boxes – NOTE: Boxes with deep lids and sturdy bodies are recommended so lids do not come off or crush when being stacked.

Pre-Printed IM T-Barcode box labels – NOTE: To order call IM at, 1-800-934-3453.

Print out AJC Yearly report for exited files: (Log into AJC)

- Select: Reporting
- Select: Case Manager Reports
- Select: Report 8-Local Area/WIB and choose report options
- Date Type: Exited Between
- Program: Workforce Investment Act
- Client Type: All

(Click Continue)

- Select: Area/WIB: Maricopa Workforce Connections
 - Enrollments: (Local Formula) Adult or Dislocated Worker or Older Youth or Younger Youth
 - Training Agent: Leave Blank
 - Participant Group: No Participant Group Selected
 - Statewide 15%: No Statewide 15% Selected
 - Exited Between:
 - This date: 01/01/year
 - End date: 12/31/year
- Columns to Include:
 - ☒ Part ID
 - ☒ Last Name
 - ☒ First Name
 - ☒ Exit Date
 - ☒ Office
- Print as Excel
- Match report with hard copy files starting with 1st quarter. After making sure file has correct exit date, place in storage box in alpha order. List can also be used to fill out IM Transmittal Sheets.

Example: AJC Exit Report for 2011, sort by date to separate quarters.


AJC ID #	LAST NAME	FIRST NAME	AJC EXIT DATE	OFFICE
4545	Apple	Annie	01/12/11	MWC - West Valley Career Center
2323	Back	Gammon	01/28/11	MWC - Friendly House
8988	Cart	Horse	01/14/11	MWC Valley of the Sun YMCA
1412	Doll	Barbie	03/29/11	MWC - East Valley Career Center

Excel workbook is developed for each year being sent to IM; which includes an inventory of client files for each box. The Excel Workbooks are used to locate client files and are located here:

T:\Workforce Development\FOLLOW UP AND RETENTION TEAM\WVCC Quarterly Follow-ups WorkBooks 2011-2014.

This is necessary in case an audit requires a file that has already been sent to IM. The workbook can be used to identify which box IM needs to retrieve.

Transmittal Sheets: example from Iron Mountain web site www.IronMountain.com

Transmittal Sheet										Page 1 of 1			
CUSTOMER ID N3185		CUSTOMER NAME RPI		Division ID* (up to 12 characters) PCARD				Department ID* (up to 12 characters) 5202					
1	Customer Box Number	Record Code*	Date Range / FROM MM DD YYYY	Date Range / TO MM DD YYYY	Alpha/Numeric Range - FROM	Alpha/Numeric Range - TO	Create Date MM DD YYYY	Event Date MM DD YYYY	MM DD YYYY	Destruction Eligibility or <input type="checkbox"/> Permanent or <input type="checkbox"/> Undefined	Hold Code		
			07 / 01 / 1999	06 / 30 / 2000	A	Z	/ /	06 / 30 / 2000	06 / 30 / 2010				
Place the SafeKeeperPLUS® BARCODE LABEL (T-Label) here		Major Description FY00 PURCHASING Minor Description BIGGINS, LOPONTO, SMITH				Reference #1							
2	Customer Box Number	Record Code*	Date Range / FROM MM DD YYYY	Date Range / TO MM DD YYYY	Alpha/Numeric Range - FROM	Alpha/Numeric Range - TO	Create Date MM DD YYYY	Event Date MM DD YYYY	MM DD YYYY	Destruction Eligibility or <input type="checkbox"/> Permanent or <input type="checkbox"/> Undefined	Hold Code		
			07 / 01 / 2000	06 / 30 / 2002	A	Z	/ /	06 / 30 / 2002	06 / 30 / 2012				
Place the SafeKeeperPLUS® BARCODE LABEL (T-Label) here		Major Description FY01-FY02 PURCHASING Minor Description BIGGINS, LOPONTO, SMITH				Reference #1							
3	Customer Box Number	Record Code*	Date Range / FROM MM DD YYYY	Date Range / TO MM DD YYYY	Alpha/Numeric Range - FROM	Alpha/Numeric Range - TO	Create Date MM DD YYYY	Event Date MM DD YYYY	MM DD YYYY	Destruction Eligibility or <input type="checkbox"/> Permanent or <input type="checkbox"/> Undefined	Hold Code		
			07 / 01 / 2002	09 / 30 / 2002	SMITH	SMITH	/ /	06 / 30 / 2003	06 / 30 / 2013				
Place the SafeKeeperPLUS® BARCODE LABEL (T-Label) here		Major Description FY03 PURCHASING Minor Description				Reference #1							
4	Customer Box Number	Record Code*	Date Range / FROM MM DD YYYY	Date Range / TO MM DD YYYY	Alpha/Numeric Range - FROM	Alpha/Numeric Range - TO	Create Date MM DD YYYY	Event Date MM DD YYYY	MM DD YYYY	Destruction Eligibility or <input type="checkbox"/> Permanent or <input type="checkbox"/> Undefined	Hold Code		
			/ /	/ /			/ /	/ /	/ /				
Place the SafeKeeperPLUS® BARCODE LABEL (T-Label) here		Major Description Minor Description				Reference #1							
5	Customer Box Number	Record Code*	Date Range / FROM MM DD YYYY	Date Range / TO MM DD YYYY	Alpha/Numeric Range - FROM	Alpha/Numeric Range - TO	Create Date MM DD YYYY	Event Date MM DD YYYY	MM DD YYYY	Destruction Eligibility or <input type="checkbox"/> Permanent or <input type="checkbox"/> Undefined	Hold Code		
			/ /	/ /			/ /	/ /	/ /				
Place the SafeKeeperPLUS® BARCODE LABEL (T-Label) here		Major Description Minor Description				Reference #1							
<small>*Note: Only customers specifically set up to use a Division ID, an 11- or 12-character Department ID, or a 7- to 10-character Record Code should place information in the gray boxes.</small>													
PREPARER'S FULL NAME IMRM e-FORM TransPad (003) REV 12/04			DATE		DIVISION ID		DEPARTMENT ID		TELEPHONE NO. AND EXTENSION		FLOOR		
<small>PROVIDE ORIGINAL FORM TO IRON MOUNTAIN RECORDS MANAGEMENT. PHOTOCOPY THIS ORIGINAL AND RETAIN FOR YOUR RECORDS.</small>													

There are copies of blank Transmittal Sheets in the Iron Mountain folder located here: **T-drive/Workforce Development/Follow up and Retention team/IronMountain**. Individual year folders have been created to house scanned copies of the box lists, transmittal sheets, Purchase Order and all paperwork concerning that year.

Information required on Transmittal Sheet:

Customer ID: A3878
Customer Name: Maricopa County Human Services
Division ID: 2281 (Gilbert) 2282 (West Valley)
Department ID: 2200

Additional information requested: 1st Line

Customer Box Number: 1 – xx

Record Code: 1st Q 2011 (Quarter and Program Year)

Date Range/From: 01/01/2011 (First Day of quarter)

Date Range/To: 03/31/2011 (Last Day of Quarter)

Alpha/Numeric Range/From: A (First Letter of First File in Box)

Alpha/Numeric Range/To: G (First Letter of Last File in Box)

Create Date: Date Materials were packed and labeled for storage

Event Date: Date of the Event for the Contents of the Box (Year is Acceptable)

Destroy Date: 6 years from Event Date (Precedence Set for Using Last Day of Destroy Year)

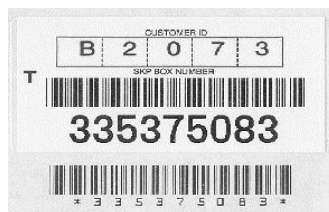
2nd Line:

Major Description: Contents of box (Closed Client Files 1st Q 2011)

Minor Description: More detailed Contents of Box (Full Names of Clients: Adams to Gunner)

T-Barcode Labels:

Place the large peel-off Barcode Label on the box. Make sure Customer ID is on the label. Place the smaller half in the area marked "Barcode Label" on the Transmittal Sheet.



(Label copied from IM example not MCHS)

↔ Customer ID is written on the upper half of each label: A3878

Box Prep:

Label each box (with a heavy marker) the box number, quarter and year. Include alpha start and end per client file in box. Label both front and end of box, place label in same lower corner per box

Example: Box 1
 1st Q 2011
 A – Ba

Purchase Order:

Prepare Purchase Order (Blank Copy is located: **T:\Workforce Development\FOLLOW UP AND RETENTION TEAM**)

- Division: Workforce Development (WDD)
- Org Code: 2281 (Gilbert) 2282(WVCC)
- Date: Date of Request
- Requestor: Person Preparing, Email, Phone
- Receiver of Goods: West Valley Career Center or East Valley Career Center
Delivery Address: 1840 N. 95th Ave, Suite 160 735 N. Gilbert Rd. Suite 134
Phoenix, AZ 85037 Gilbert, AZ 85234
- Grant/Program: Drop Down
WDD-Adult/Dislocated Worker or WDD –Youth
- Contract #: C-10097
- Vendor Name: Iron Mountain Records Management
- Vendor Phone Number: 602-374-0962
- Contact Name: Michael Jandro
- Web Address: WWW.IronMountain.com
- Vendor Address: 4449 S. 36th St Phoenix, AZ 85040
- Vendor Email: mjandro@ironmountain.com
- Fill out the section: Complete Description of Goods or Services (Provide Center Name, # of boxes and program. ie: "WDD Client files for Storage, WVCC-14 boxes for Adult/Dislocated Worker")

Email the electronic Purchase Request Form to Retention Supervisor for electronic signature. Retention Supervisor will obtain Center Manager Signature and once received back, will forward a copy to Finance for records, and save in Follow Up and Retention Folder.

Finance Contacts: Joyce Gaylor- gaylorj@mail.maricopa.gov or Daniel Rojas- RojasD001@mail.maricopa.gov

Once Retention Supervisor sends email confirmation to proceed: Contact Iron Mountain at 1-800-934-3453 to schedule pick up. Make note of confirmation number and inform Iron Mountain that site doors close at 5:00pm.